

PATENT

(Practitioner's Docket No. IN-5798)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Hubert BAUMGART Daniel KUSSEL Yvonne LICHTÉ	
Serial No.: This application is a National Phase application of PCT/EP03/000967 filed 31 January 2003.	Group Art Unit: Not Assigned
Filed: July 1, 2004	Examiner: Not Assigned

For: Method for Producing Chromophoric and/or Effect-Producing Multilayer Coatings

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

☐ An International Search Report has no been provided yet. The Search Report and References will be submitted when received

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

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☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [], filed on []. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

Information Disclosure Statement
Page 2

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

☐ Application Serial No. [] was published as Publication No. []. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of []. Therefore, the bibliographic page for Publication No. [] is provided with a copy of the specification as filed for [].

FOREIGN LANGUAGE DOCUMENTS

☐ There are no foreign language documents listed on Form PTO-1449.

☒ The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references. **English Language Translation for DE 198 26 715**

☒ English language abstract for the following non-English references are enclosed.

English Language Abstract for DE3828098 from EPO, 1990-03-04
English Language Abstract for DE4011045 from EPO, 1991-10-09
English Language Abstract for DE4020316 from EPO, 1992-01-09
English Language Abstract for DE4025215 from EPO, 1992-02-19
English Language Abstract for DE4303570 from EPO, 1994-08-11
English Language Abstract for DE4122743 from EPO, 1992-11-26
English Language Abstract for DE 19613547 from EPO, 1996-11-07
English Language Abstract for DE4328092 from EPO, 1995-02-23
English Language Abstract for DE19920801 from EPO, 2002-02-26
English Language Abstract for DE19930664 from EPO, 2001-01-11
English Language Abstract for DE43 02 327 from EPO, 1994-08-04
English Language Translation for DE 198 26 715 , Detlef
English Language Abstract for EP 0 297 576 from EPO, 1989-01-04
English Language Abstract for EP 0 940 459 from EPO, 1999-09-08
English Language Abstract for EP0 872 502 from EPO, 1998-10-21
English Abstract for JP06-286008 from EPO, 1994-10-11

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

- ☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

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Information Disclosure Statement
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☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of \$130.00 to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

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mlf mng
SIGNATURE OF ATTORNEY and DATE
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FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. docket No. IN-5798

LIST OF ART CITED BY APPLICANT
(Use sever of sheets if necessary)

In re Application of : BAUMGART et al

Serial No.: Herewith

Filed: July 1, 2004

U.S. PATENT DOCUMENTS

Examiner initial	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2003/0083397	5/1/03	Bradford et al.			8/28/01
	2003/0078316	4/24/03	Bradford et al.			8/28/01
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EXAMINER	DATE CONSIDERED					

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Applicant has modified this form by deleting the word "prior".

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U.S. PATENT DOCUMENTS

Examiner initial	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,013,631	5/7/91	Su			3/3/89
	5,075,372	12/24/91	Hille et al.			2/6/87
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	5,965,213	10/12/99	Sacharski et al.			4/4/96

EXAMINER

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FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		2073,115 ✓	92.07.03	CA	C08L	075/14	X	
		2079498	92.09.30	CA	B05D	003/06	X	
		2102169	94.05.07	CA	C09D	175/14	X	
		2102170	94.05.07	CA	C09D	175/14	X	
		2153581	94.01.20	CA	C08G	18/67	X	
		2258813	99.01/05	CA	C09D	175/14	X	
		196 13 547 ✓	07.11.96	DE	C09D	5/46		X
		198 26 715 ✓	28.01.99	DE	C07C	69/54	X	
		199 20 801 ✓	16.11.00	DE	B05D	7/24		X
		199 30 664 ✓	11.01.01	DE	C09D	125/02		X
		38 28 098 ✓	08.03.90	DE	C08G	77/58		X
		40 11 045 ✓	10.10.91	DE	B05D	7/02		X
		40 20 316 ✓	09.01.92	DE	C09D	183/04		X
		40 25 215 ✓	13.02.92	DE	C08G	59/50		X
		41 22 743 ✓	26.11.92	DE	C09D	4/00		X
		43 02 327 ✓	04.08.94	DE	C08G	18/67		X
		43 03 570 ✓	11.08.94	DE	B05D	7/26		X
		43 28 092 ✓	23.02.95	DE	C09D	175/04		X
		94/10213	11.05.94	WO	C08F	8/30	X	
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		02/074872	26.09.02	WO	C09D	175/04		X
		00/68323	16.11.00	WO	C09D	4/00	X	
		88/07416	06.10.88	WO	B05D	1/00	X	
		1 583 412 ✓	12.08.77	GB	C08F	226/02	X	
		0 297 576 ✓	30.06.88	EP	C09D	3/72		X
		0 401 565	16.05.90	EP	C09D	5/02	X	
		0 401 892	25.05.90	EP	C09D	167/06	X	
		0 594 142	20.10.93	EP	C08L	57/12	X	
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		0 624 577 ✓	13.05.94	EP	C07D	251/70	X	
		0 753 358 ✓	04.07.96	EP	B05D	1/00	X	
		0 872 502 ✓	19.03.98	EP	C08G	18/68		X
		0 940 459 ✓	24.02.99	EP	C09D	201/00		X
		0 352 298 ✓	25.03.88	EP	B05D	1/00	X	

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	/	English Language Abstract for DE3828098 from EPO, 1990-03-04
	/	English Language Abstract for DE4011045 from EPO, 1991-10-09
	/	English Language Abstract for DE4020316 from EPO, 1992-01-09
	/	English Language Abstract for DE4025215 from EPO, 1992-02-19
	/	English Language Abstract for DE4303570 from EPO, 1994-08-11
	/	English Language Abstract for DE4122743 from EPO, 1992-11-26
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	/	English Language Abstract for EP 0 940 459 from EPO, 1999-09-08
	/	English Language Abstract for EP0 872 502 from EPO, 1998-10-21
	/	English Translation of DE19826715 , Wolfgang, et al., 28-01-99, pp. 1-12
	/	English Abstract for JP06-286008 from EPO, 1994-10-11
	/	Houben-Weyl , "Methoden der organischen chemie", Volum 14/2, 4th Edition, Georg Thieme Verlag, Stuttgart, 1963, pages 61 to 70, by W. Siefken, Liebigs Annalen der Chemie, Volume 562, pages 75 to 136.
	/	Singh and coworkers , "Carbamylmethylated Melamines, Novel Crosslinkers for the Coatings Industry" in Advanced Organic Coating Science and Technology Series, 1991, Vol. 13, pages 193 to 207 @ page 47, LL. 11-14;
	/	US Serial No., 09/263,426 Fritz BARTOL et al., filed March 5, 1999
	/	US Serial No., 10/470,863 , Baumgart, et al., filed 12.15.03
	/	US Serial No., 10/018,106 , Allard et al., filed 01.11.02
	/	US Serial No., 10/009,394 Allard et al, filed 10/25/01

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